

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER  
UPNA-0034TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (if known see 37 CFR 1.5)  
10/526,941INTERNATIONAL APPLICATION NO.  
PCT/US03/016086INTERNATIONAL FILING DATE  
21 May 2003 (21.05.2003)PRIORITY DATE CLAIMED  
10 September 2002 (10.09.2002) and 18  
October 2002 (18.10.2002)TITLE OF INVENTION **CARBON NANOTUBES: HIGH SOLIDS DISPERSIONS AND NEMATIC GELS THEREOF**APPLICANT(S) FOR DO/EO/US **Arjun VODH, Mohammad F. ISLAM and Ahmed M. Alsayed ALI**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9), and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) 35 U.S.C. 371(c)(4).
10. ☐ An English translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 20. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.182-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
  - a copy of the Notification of Missing Requirements dated July 12, 2005.
  - a return postcard.

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EXPRESS MAIL Mailing Label No. EV 482611682 US  
Date of Deposit: September 8, 2005

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid IMB control number.

U.S. APPLICATION NO. (if known 37 C.F.R. 1.5) <b>10/526,941</b>		INTERNATIONAL APPLICATION NO. <b>PCT/US03/016086</b>		ATTORNEY DOCKET NUMBER <b>UPNA-0034</b>	
The following fees are submitted:					
21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a))		<b>\$300</b>		\$	
22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))				\$	
If written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)		<b>\$0.00</b>		\$	
All other situations		<b>\$200</b>			
23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))				\$	
If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)		<b>\$0</b>			
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority		<b>\$100</b>			
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB		<b>\$400</b>			
All other situations		<b>\$500</b>			
<b>TOTAL of 21, 22 and 23 =</b>				\$	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing filed in electronic medium) (37 CFR 1.492(j)). The fee is <b>\$250</b> for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50=		X <b>\$250</b>	\$	
Surcharge of <b>\$130.00</b> for furnishing any of the search fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				<b>\$130.00</b>	
Claims	Number Filed	Number Extra	Rate		
Total claims	- 20 =		X <b>\$50</b>	\$	
Independent Claims	- 3 =		X <b>\$200</b>	\$	
Multiple dependent claims(s) (if applicable)			+ <b>\$360</b>	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$130.00</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$65.00</b>	
<b>SUBTOTAL =</b>				<b>\$65.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
<b>TOTAL NATIONAL FEE =</b>				<b>\$65.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property +					
<b>TOTAL FEES ENCLOSED =</b>				<b>\$65.00</b>	
				Amount to be:	\$
				refunded	
				Amount to be	\$
				charged	

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01 FC:2617 65.00 OP

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid IMB control number.

- a. ☒ A check in the amount of **\$65.00** to cover the above fee is enclosed.
- b. ☐ Please charge my Deposit Account No. 23-3050 in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3050. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

**John W. Caldwell**  
Woodcock Washburn LLP  
One Liberty Place - 46th Floor  
Philadelphia, PA 19103  
(215) 568-3100

  
SIGNATURE

**Jeffrey H. Rosedale**  
NAME

**46,018**  
REGISTRATION NUMBER



## UNITED STATES PATENT AND TRADEMARK OFFICE

**Rec'd PCT/PTO** 08 SEP 2005  
JWICL/SHZ

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/526,941	Arjun G Yodh	UPNA-0034

INTERNATIONAL APPLICATION NO.	
PCT/US03/16086	
I.A. FILING DATE	PRIORITY DATE

23377  
WOODCOCK WASHBURN LLP  
ONE LIBERTY PLACE, 46TH FLOOR  
1650 MARKET STREET  
PHILADELPHIA, PA 19103

**RECEIVED**

**JUL 18 2005**

**Woodcock Washburn**

**CONFIRMATION NO. 7568**

**371 FORMALITIES LETTER**



\*OC000000016509845\*

Date Mailed: 07/13/2005

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 03/08/2005
- Copy of the International Search Report filed on 03/08/2005
- Preliminary Amendments filed on 05/09/2005
- Oath or Declaration filed on 03/08/2005
- Small Entity Statement filed on 03/08/2005
- Request for Immediate Examination filed on 03/08/2005
- U.S. Basic National Fees filed on 03/08/2005
- Priority Documents filed on 03/08/2005
- Power of Attorney filed on 03/08/2005
- Specification filed on 03/08/2005
- Claims filed on 03/08/2005
- Abstracts filed on 03/08/2005
- Drawings filed on 03/08/2005

**RECEIVED**

**JUL 18 2005**

**DOCKET DEPT  
WWKMN**

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - While each inventor need not execute the same oath or declaration, each oath or declaration executed by an inventor must contain a complete listing of all inventors.
- \$65 Surcharge for providing the oath or declaration later than 30 months from the priority date (37 CFR

4.492(e)) is required.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Late oath or declaration Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

**PART 1 - ATTORNEY/APPLICANT COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/526,941	PCT/US03/16086	UPNA-0034